TRANSMITTÂL JETTER (General - Patent Pending)				Docket No. 99-062		
In Re Application Of: JA	Y S. WALKER et al. MAR	1 1 2004				
Serial No.	Filing Date		Examiner	Group Art Unit		
09/523,653	Filing Date March 10, 2000	PAPENIST	G. R. AKERS	3624		
Title:						
METHOD, SYSTEM AND	COMPUTER PROGRAM PRO	ODUCT FO	R FACILITATING	AN AUCTION BEHAVIOR		
AND AUTOMATIC BIDDI	ING IN AN AUCTION					
	TO THE COMMISS	NONER FO	R PATENTS:			
	TO THE COMMISSION	IONLINIO	NI AILINIO.			
Transmitted herewith is:						
-	tion of the Holding of Abandon	ment - No al	bandonment in Fact	, 2 pp., (x2);		
Copy of Notice of Aband	onment, 2 pp.; Postcard, and documents filed F	₹ehruary 18	2004 in response to	O.A., 12 pp.: and		
Return Receipt Postcard		Columny 10	, 2004 in response to	0 m, 12 pp., m.u		
in the above identified app	olication.					
☑ No additional fee is	required.					
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	eby authorized to charge and c	redit Depos	it Account No.	50-0271		
as described below						
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Dean P. Alderucci						
Attorney for Applicants PTO Registration No. 40,48	<i></i> ∡4					
Walker Digital, LLC	· · ·		l certify that this of march 8, 2004	document and fee is being deposited with the U.S. Postal Service as		
203.461.7337/phone			first class mail unde	er 37 C.F.R. 1.8 and is addressed to the		
203.461.7300/fax			22212 1450-	Patents, P.O. Box 1450, Alexandria, VA		
Customer No. 22927			22313-1439 9.	L leiev L		

Dalderucci@walkerdigital.com

cc:

P16A/REV01

Signature of Person Mailing Correspondence

Veronika S. Leliever

Typed or Printed Name of Person Mailing Correspondence



United States Patent and Trademark Office

UNITED STATES DEPARTMENT OF COMMERCE United States Patent and Trademark Office Address: COMMISSIONER FOR PATENTS P.O. Box 1450 Alexandria, Virginia 22313-1450

EXAMINER

APPLICATION NO.

FIRST NAMED INVENTOR lay S. Walker

ATTORNEY DOCKET NO.

CONFIRMATION NO.

09/523,653

03/10/2000

99-062

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22927

7590

WALKER DIGITAL FIVE HIGH RIDGE PARK

STAMFORD, CT 06905

03/02/2004

AKERS, GEOFFREY R ART UNIT

PAPER NUMBER

3624

DATE MAILED: 03/02/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

MAR 1 6 2004 **GROUP 3600**



UNITED STATES PARTMENT OF COMMERCE United States Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO.		
09/543653	3/19/50	Wolfer			
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•			ART UNIT	PAPER NUMBER	
			3664	4	
		Š.	DATE MAILED:	÷	
		NOTICE OF ABANDONMENT			
This application is	s abandoned in vie	w of:	1 1		
Applican	t's failure to timely	file a proper reply to the Office letter mailed on	8/18/03		
	A reply (with Certif	ficate of Mailing or Transmission of) was received on		
		which is after the expiration of the period month(s)) which expired on		al	
Г		was received on, but it does not		. undon	
	37 CFR 1.113 to the	ne final rejection.		•	
	which places the a	ider 37 CFR 1.113 to a final rejection consists only application in condition for allowance; (2) a timely to Request for Continued Examination (RCE) in cor	filed Notice of Appeal (wi	th appeal fee);	
	A reply was receiv	ed on, but it does not constitute a non-final rejection. See 37 CFR 1.85(a) and 1.11	a proper reply, or a <i>bona</i>	fide attempt at a	
 /	No reply has been		T. (OCC EXPlanation in th	e last box below).	
. Applican of three i	t's failure to timely months from the m	pay the required issue fee and publication fee, if a ailing date of the Notice of Allowance (PTOL-85).	applicable, within the stat	utory period	
	Transmission date	publication fee, if applicable, was received on	the statutory period for p	payment of the	
	The submitted fee The issue fee by 3 37 CFR 1.18(d) is	of \$ is insufficient. A balance of \$ 7 CFR 1.18 is \$ The publication fee, if \$	is due. required, by		
	The issue fee and	publication fee, if applicable, have not been receive	ved.		
Applicant the Notice	t's failure to timely t e of Allowability (P	file corrrected drawings as required by, and within TOL-37).	the three-month period	set in,	
	Proposed correcte	d drawings were received on (with a Cer , which is after the expiration of the period for repl	tificate of Mailing or Tran ly	smission dated	
	No corrected draw	ings have been received.	-		
	r of express abandor all the applicants	onment which is signed by the attorney or agent o s.	of record, the assignee of	the entire	
The letter under 37	r of express aband CFR·1.34(a)) upor	onment which is signed by an attorney or agent (a on filing of a continuing application.	icting in a representative	capacity	
		of Patent Appeals and Interferences rendered on _ he decision has expired and there are no allowed		e the period	
Petitions to	on(s) below: evive under 37 CFR 1.13 y negative effects on pate	37(a) or (b), or requests to withdraw the holding of abandonment usent term.	under 37 CFR 1.181, should be p	romptly filed to	

PTO-1432 (07/01)







Handlaldadladdallad Aimée J. Knoller Records Manager Walker Digital Management, LLC Five High Ridge Park Stamford, CT 06905

MAR 1 6 2004

Commissioner for Patents:

Date Received:

GROUP 3600

Applicant:

WALKER et al.

Serial. No.:

09/523,653

Filing Date:

March 10, 2000

Title:

METHOD, SYSTEM AND COMPUTER PROCEAM

Commissioner for Patents:

Date Received:

Applicant:

WALKER et al

Serial. No.:

Filing Date:

March 10, 2000

Title:

Sir:

METHOD, SYSTEM AND COMPUTER PROGRAM

PRODUCT FOR FACILITATING AN AUCTION BEHAVIOR

AND AUTOMATIC BIDDING IN AN AUCTION

(99-062)

Please acknowledge receipt of the following papers by stamping the date received on this card and returning the same to the addressee.

- Combined Amendment & Petition for Extension of Time, 2 pp., (x2);
- Assertion of Small Entity Status, 1 pg.; and
- Amendment and Response to the Non-final Office Action, (6 pp.).

Date mailed: February 18, 2004.

			Entity)	Y	99-062
In Re Application	Of: JAY S. WALKE	R et al. OIPE	(COI		
Serial No.	Filing	Date	Examiner		Group Art Unit
09/523,653	March 1	12	AKERS, Geoffrey	R.	3624
	EM AND COMPUTER		JCT FOR FACILITA	TING AN AUCT	TION BEHAVIOR
	<u></u>	THE COMMISSION	ER FOR PATENTS:		
response to the C	d amendment and petion of Automotion Automotion is as follows (c	gust 18, 2003 in the Date heck time period des	e above-identified app sired):	olication.	
☐ One mo	nth 🗆 Two mo	onths 🗵 Three	e months 🔲 Fou	r months	☐ Five months
from:	November 18, 20	003 ur	ntil: Feb	Date 2004	
is enclosed	ent of small entity statu l. y been filed in this appl		nder 37 CFR 1.27:		RECEIVE MAR 1 6 2004 GROUP 36
The fee for the a	mendment and extens	on of time has been	calculated as shown	below:	GHOUP 361
		CLAIMS AS A	MENDED		
	CLAIMS REMAINING	HIGHEST #	NUMBER EXTRA	RATE	ADDITIONAL
	AFTER AMENDMENT	PREV. PAID FOR	CLAIMS PRESENT		FEE
OTAL CLAIMS	58 -	58 =	0	x \$9.00	\$0.00
IDEP. CLAIMS	20 -	20 =	0	x \$43.00	\$0.00
			FEE FOR	AMENDMENT	\$0.00
			FEE FOR EXTENS	ION OF TIME	\$475.00
	TOTAL	FEE FOR AMENDI	MENT AND EXTENS	ION OF TIME	\$475.00
					

COMBINED AMENDMENT & PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a) (Small Entity)

Docket No. 99-062

The	The fee for the amendment and extension of time is to be paid as follows:						
	A check in the amount of \$475.00 for the amendment and extension of time is enclosed.						
\boxtimes	Please charge Deposit Account No. 50-0271 in the amount of \$475.00						
×	The Director is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0271						
	Any additional filing fees required under 37 C.F.R. 1.16.Any patent application processing fees under 37 CFR 1.17.						
\boxtimes	☑ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 50-0271						

Signature

Dean P. Alderucci Attorney for Applicants PTO Registration No. 40,484 Walker Digital, LLC 203.461.7337/phone 203.461.7300/fax

CUSTOMER NO. 22927

Dalderucci@walkerdigital.com

cc:

Dated: February 18, 2004

I certify that this document and fee is being deposited on February 18, 2004 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Palents, P. Box 1450, Alexandria, VA 22313-1456.

Signature of Person Mailing Correspondence

Veronika S. Leliever

Typed or Printed Name of Person Mailing Correspondence

KELLEY A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re	Application of: JAY S. WALKER et al.)	Examiner: AF	ŒF	RS, Geoffrey R.	
Serial No.: 09/523,653)	Group Art Unit:		3624	
Filing Date: March 10, 2000)				
For:	METHOD, SYSTEM AND)	Attorney Docket	No:	99-062	
	COMPUTER PROGRAM)	Customer No.:		22927	
	PRODUCT FOR FACILITATING)				
	AN AUCTION BEHAVIOR AND)	Notification of F	otification of Fee Status Chang		
	AUTOMATIC BIDDING IN AN)) Pursuant to 37 CFR § 1.27		R § 1.27	
	AUCTION)				

Commissioner for Patents P. O. Box 1450 Alexandria, VA 22313-1450

ASSERTION OF SMALL ENTITY STATUS

Dear Sir:

The assignee of the above-identified application claims small entity status. This notification is made pursuant to 37 CFR §1.27.

If the Examiner has any questions about this status change, the Examiner is invited to contact the undersigned at (203) 461-7337. While no fees are believed due in connection with this paper, please charge any fees that may be required for this paper, or with any other papers filed in connection with this application to Deposit Account No. 50-0271.

February 18, 2004

Date

Respectfully submitted

Dean P. Alderucci Attorney for Applicants Registration No. 40,484 (203) 461-7337 /direct (203) 461-7300 /fax Alderucci@walkerdigital.com PATENT

Application No. 09/523,653 Attorney Docket No.: 99-062

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CUSTOMER NO. 22927

Applicants:

Walker et al.

Application No.:

09/523,653

Filed:

March 10, 2000

Title:

METHOD, SYSTEM AND COMPUTER PROGRAM PRODUCT FOR

FACILITATING AN AUCTION BEHAVIOR AND AUTOMATIC

BIDDING IN AN AUCTION

Attorney Docket No. 99-062

Group Art Unit:

3624

Examiner:

G. Akers

AMENDMENT AND RESPONSE

to the Office Action mailed August 18, 2003 (Paper No. 3)

Mail Stop Amendment Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Examiner:

In response to the Non-Final Office Action mailed August 18, 2003, (Paper No. 3), please consider of the following remarks. Please note that references to "we", "us", "our" and the like refer to the present Applicants.

Application No. 09/523,653 Attorney Docket No.: 99-062

REMARKS

Claims 1 - 58 are pending in the present application. Claims 1, 21, 22, 24, 25, 34- 37, 45 - 48 and 52 - 58 are independent.

A. Section 103(a) Rejections

Claims 1 - 58 are rejected as being unpatentable over a combination of U.S. Patent No. 6,044,363 to Mori and U.S. Patent No. 6,151,589 to Aggarwal. We traverse the Examiner's Section 103(a) rejection.

Wrong Standard Used

According to page 3 of the Office Action, the obviousness rejection is based on an assertion that the combination of Mori and Aggarwal would "teach the disclosure". Also, the obviousness rejection only includes a description of Mori and Aggarwal. No reference is made to any of the limitations of any of the pending claims. Accordingly, we assume that the rejection is based on an assertion that a combination of Mori and Aggarwal would produce certain subject matter that exists in the present application.

Whether the prior art might teach some parts of the disclosure is irrelevant - the claims are the only part relevant to the obviousness determination. Accordingly, no *prima facie* showing of obviousness has been presented.

The Claims distinguish over the cited References

To expedite allowance, each independent claim is distinguished from the references cited. Specifically, certain limitations (rather than the entire claim) are described to demonstrate that the limitations are not disclosed by the cited references.

Independent Claims 1, 21, 22, 24

at least one rule for controlling when a bid may be placed automatically for a bidder

Mori discloses rules controlling bid prices and quantities, not when bids may be placed. Aggarwal specifies time between auctions, and has nothing to do with bids.

Independent Claim 25, 34, 35, 36

receiving / accepting information about the auction matching / comparing the information about the auction to a behavior

Neither Mori nor Aggarwal has anything to do with matching or comparing anything to a behavior, much less as claimed.

Application No. 09/523,653 Attorney Docket No.: 99-062

Independent Claim 37, 45, 46, 47

receiving / accepting an indication of a selected auction behavior; and matching / comparing the auction behavior to a rule to encourage the auction behavior.

Neither Mori nor Aggarwal has anything to do with encouraging any auction behavior, much less in the manner claimed.

Independent Claim 48, 52, 53, 54

applying a rule associated with the bidder and having a condition specifying when to place a bid; and

if the condition of the rule is satisfied, and if a highest bid in the auction is not from the bidder, and if a bid for the bidder may be accepted, placing / submitting the bid according to a specified bidding behavior

Mori discloses rules controlling bid prices and quantities, not when bids may be placed. Aggarwal specifies time between auctions, and has nothing to do with bids.

Independent Claim 55

receiving information indicating bidding information for an auction; determining at least one of an average time period between bids and an average increment between bids; and

storing the determined information as an associated auction behavior.

Neither Mori nor Aggarwal has anything to do with determining an average time period between bids or an average increment between bids.

Independent Claim 56

determining a behavior of each of the concluded auctions from the bidding information: selecting the behavior of the auction having the best outcome as the beneficial auction behavior.

Neither Mori nor Aggarwal has anything to do with determining a behavior of concluded auctions, much less selecting a behavior having the best outcome.

Independent Claim 57

defining data associating each of one or more desired auction behaviors to one or more rules for controlling when a bid may be placed automatically for a bidder in an auction

Neither Mori nor Aggarwal has anything to do with when a bid may be placed automatically.

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Independent Claim 58

defining data associating a maximum bid and a bidder with an indication of a rule for controlling when a bid may be placed automatically for a bidder in an auction.

Neither Mori nor Aggarwal has anything to do with when a bid may be placed automatically.

No motivation to Combine or Modify

There is no motivation to combine Mori nor Aggarwal. The stated motivation:

"to teach an auction method to be utilized for dynamically adjusted time intervals"

would not in any way prompt one of ordinary skill in the art to seek out Mori, which merely teaches rules controlling bid prices and quantities, not auctions themselves.

In addition, there would be no benefit from combining the references. Mori discloses rules controlling bid prices and quantities, while Aggarwal deals with the time between auctions, but has nothing to do with bids.

B. Section 101 Rejections

Claims 24, 36, 47, 54 and 57 - 58 stand rejected as being non-statutory. We traverse the Examiner's Section 101 rejection.

The entirety of the Section 101 rejection is that the claims are rejected:

"for failing to define a concrete and tangible output. There is no functionality recited in these claims"

Products Need Not Define an Output

A product claim need not define any "output", much less "define a concrete and tangible output". For example, an article of manufacture such as a doorstop or paper clip would be statutory subject matter even though it would not "define" any "output".

Products Need Not "Recite" Functionality

Also, functionality need not be recited in a claim itself. In fact, it is not clear exactly what recitation in a claim would be a recitation of "functionality".

If instead the allegation is that the claimed products do not have any utility, this is incorrect. Claims 24, 36, 47 and 54 are each directed to a computer program product which includes a computer readable medium with computer program instructions stored thereon. The computer program instructions when executed by a computer, directs the computer to perform a method which is useful as described in the disclosure. Claims 57 and 58 are each directed to a digital information product which includes a computer-readable medium and information defining data stored thereon. The data likewise have a utility as described in the disclosure.

Accordingly, no prima facie showing of nonstatutory subject matter has been presented.

C. Section 112 Rejections

Claims 1 - 58 stand rejected under 35 U.S.C. § 112, 2nd paragraph as being indefinite. We traverse the Examiner's Section 112 rejection.

The Standard Used

The entirety of the indefiniteness rejection is the following sentence:

"The independent claims too broad and indefinite to enable one to distinguish the disclosure over the prior art."

The reasons why all claims are believed indefinite is not apparent from the rejection.

Breadth is not Indefiniteness

The rejection appears to be based on the breadth of the claims and a belief that the claims cannot "distinguish the disclosure over the prior art". This is clearly not a proper basis for an indefiniteness rejection.

It is well settled that the breadth of claim has no bearing on the definiteness of a claim. "Breadth is not indefiniteness." In re Gardner, 427 F.2d 786 (1970); In re Miller, 441 F.2d 689, 693 (CCPA 1971) ("breadth is not to be equated with indefiniteness, as we have said many times"); In re Robins, 429 F.2d 452, 458 (CCPA 1970).

Proper Standard for Definiteness

The definiteness inquiry focuses on whether those skilled in the art would understand the scope of the claim when the claim is read in light of the rest of the specification. Orthokinetics, Inc. v. Safety Travel Chairs, Inc., 806 F.2d 1565, 1576 (Fed. Cir. 1986).

We have reviewed all claims in light of the specification, and believe that all claims satisfy the definiteness standard. When construed in light of the specification, the scope of each pending claim would be understood by one of ordinary skill in the art.

Accordingly, no prima facie showing of indefiniteness has been presented.

Clarification

If the rejection is maintained, we request that indefinite terms, phrases of grammatical constructions be indicated so that specific concerns regarding the scope of the claim may be addressed.

PATENT Application No. 09/523,653
Attorney Docket No.: 99-062

Conclusion

For the foregoing reasons it is submitted that all of the claims are now in condition for allowance and the Examiner's early re-examination and reconsideration are respectfully requested.

Alternatively, if there remains any question regarding the present application or any of the cited references, or if the Examiner has any further suggestions for expediting allowance of the present application, the Examiner is cordially requested to contact Dean Alderucci at telephone number 203-461-7337 or via electronic mail at Alderucci@WalkerDigital.com.

Petition for Extension of Time to Respond

Applicants hereby petition for a **three-month** extension of time with which to respond to the Office Action. Please charge \$475.00 for this petition to our Deposit Account No. 50-0271. Please charge any additional fees that may be required for this Response, or credit any overpayment to Deposit Account No. 50-0271.

If an extension of time is required, or if an additional extension of time is required in addition to that requested in a petition for an extension of time, please grant a petition for that extension of time which is required to make this Response timely, and please charge any fee for such extension to Deposit Account No. 50-0271.

Respectfully/submit

February 18, 2004

Dean Alderucci Attorney for Applicants Registration No. 40,484 Alderucci@WalkerDigital.com 203-461-7337 / voice 203-461-7300 / fax Application/Control Number: 09/523653 Page 2

Art Unit: 3624

DETAILED ACTION

1. Claims 1-58 have been examined.

Claim Rejections - 35 USC § 103

- 2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:
 - (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.
- 3. Claims 1-58 are rejected under 35 USC 103(a) as unpatentable over Mori(US Pat. No: 6,044,363) in view of Aggarwal(US Pat. No: 6,151,589).
- 4. As per claims 1-58 Mori teaches an automatic auction method(Abstract) having rules(Fig 4)(Fig 5) as well as a competitivestate judging routine and setting an intial price(Fig 1) as well as utilizing an electronic marketplace server(Fig 2) and display of auction behavior and ordering(Fig 6). Mori further teaches a rulke dditor consisting of specified prfice and price condition(Fig 5/411) and amount condition(Fig 4/421) and registration in rule list(Fig 4/431) and the results of an auction(Fig 7) and a purchase quantity interval(Fig 7/613) for the rule results. Mori further teaches an electronic marketplace monitor(Fig 8) as well as transmission and reception times(Fig 8) and an auction monitor(Fig 11). Mori further teaches judgment of amount condition as a rule engine(Fig 14/1208/1204) as well as bidder quantity conditions(Fig 15) and thresholding(Fig 16/1402) and a judging routine(Fig 16/1405) and a product allocation

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Art Unit: 3624

routine(Fig 17) as well as a set of auction conditions(Fig 19). Aggarwal teaches a minimum bid(Fig 2/260) and a market premium p for determining bidders above p(Fig 4/420) for purposes of determining the highest and best price. Aggarwal further teaches utilizing the Internet(Fig 1/35) and a response interval for a bid(Fig 2/230 and an interval between auction decisioons(Fig 2/240) as well as the seller providing information on a starting bid price and a response window(Fig 3/310) which is used to determine the next time interval an auctioning decision will be made(Fig 3/330) as well as calculation of the maximum time before which a predefined percentage of the premium bidders will not expire(Fig 4/430) and readjusting the time interval when the next auctioning decision will occur(Fig 4/460) and the selection of those k bidders who have the shortest arrival times and of those give priority to the highest volume in this subgroup(Fig 5/550).It would have been obvious to one skilled in the art at the time of the invention to combine Mori in view of Aggarwal to teach the disclosure. The motivation to combine is to teach an auction method to be utilized for dynamically adjusted time intervals as delineated by Aggerwal(col 2 lines 33-41).

Claim Rejections - 35 USC § 101

5. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Application/Control Number: 09/523653 Page 4

Art Unit: 3624

6. Claims 24,36,47,54,57-58 are rejected under 35 USC 101 for failing to define a concrete

and tangible output. There is no functionality recited in these claims.

Claim Rejections - 35 USC § 112

7. Claims 1-58 are rejected under 35 U.S.C. 112, second paragraph, as failing to set forth

the subject matter which applicant regards as the invention. The independent claims are too broad

and indefinite to enable one to distinguish the disclosure over the prior art.

Conclusion

8. THIS ACTION IS MADE NON-FINAL.

9. Any questions concerning this communication should be addressed to the primary

examiner of record, Dr. Geoffrey Akers, P.E., who can be reached between 6:30 AM and 5:00

PM Monday through Friday at 703-306-5844. If attempts to contact the primary examiner are

unsuccessful, the primary examiner's superior, Mr. Vincent Millin, SPE, may be telephoned at

(703)-308-1065.

The fax number for Formal or Official faxes and Draft or Informal faxes to Technology

Center 3600 or this Art Unit is (703)-308-3687. Any inquiry of a general nature or relating to the

status of this application should be directed to the Group receptionist whose telephone number is

(703)-308-1113.

August 13,2003

DR. GEOFFREY R. AKERS, P.E. PRIMARY EXAMINER